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FM SECSTATE WASHDC  
TO AMEMBASSY MOSCOW

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SUBJECT: (U) REQUEST FOR INFORMATION ON RUSSIAN EXPORT  
CONTROL POLICY (C-RE9-00574)

Classified By: SUZANNE MCCORMICK, DIR., INR/OPS. REASON: 1.4(C).

11. (C) WASHINGTON ANALYSTS ARE INTERESTED IN ANY INFORMATION CONCERNING RUSSIAN EXPORT CONTROLS ON DUAL-USE ITEMS THAT COULD BE APPLICABLE TO NUCLEAR WEAPONS, BALLISTIC OR CRUISE MISSILES, BIOLOGICAL WEAPONS, CHEMICAL WEAPONS, OR ADVANCED CONVENTIONAL WEAPONS. ANALYSTS ARE HOPING TO DEVELOP INSIGHT INTO MOSCOW'S VIEWS OF ITS EXPORT CONTROL SYSTEM AND EVALUATE THE STRENGTHS AND WEAKNESSES OF THE SYSTEM AND PROSPECTS FOR ITS IMPROVEMENT. ANALYSTS WOULD APPRECIATE IT IF POST COULD PROVIDE ANY AVAILABLE INFORMATION REGARDING RUSSIAN GOVERNMENT VIEWS OF RUSSIAN EXPORT CONTROLS, THE MECHANICS OF HOW CHANGES IN THE POLICY ARE MADE, WHO THE DECISIONMAKERS ARE, AND THE REALITIES OF HOW EXPORT CONTROLS ARE OR ARE NOT IMPLEMENTED, AS TIME AND RESOURCES PERMIT. MANY THANKS, AND REGARDS FROM WASHINGTON.

1A. (U) VIEWS OF EXPORT CONTROL SYSTEM

1) (S) WHAT DO RUSSIAN OFFICIALS ASSESS TO BE THE STRENGTHS AND WEAKNESSES OF THE EXPORT CONTROL SYSTEM?

2) (S) WHAT ARE MOSCOW'S VIEWS OF RECEIVING ASSISTANCE FROM OTHER COUNTRIES AIMED TO IMPROVE RUSSIAN EXPORT CONTROLS? WHAT KIND OF ASSISTANCE DOES MOSCOW FIND MOST VALUABLE AND/OR USEFUL?

3) (S) HOW DO RUSSIAN EXPORTERS VIEW THE EXPORT CONTROL SYSTEM? WHAT DO THEY ASSESS TO BE THE SYSTEM'S STRENGTHS AND WEAKNESSES? HOW DO IMPORTERS IN FOREIGN COUNTRIES VIEW THE SYSTEM?

4) (S) WHICH PARTS OF THE PROCESS TO OBTAIN AN EXPORT LICENSE DO EXPORTERS FIND PARTICULARLY DIFFICULT OR EASY?

1B. (U) PLANS AND INTENTIONS FOR EXPORT CONTROL SYSTEM

1) (S) WHAT ARE MOSCOW'S GOALS FOR ITS EXPORT CONTROL SYSTEM?

2) (S) WHAT KIND OF TRANSFERS DO RUSSIAN OFFICIALS EXPRESS THE MOST CONCERN ABOUT? THE LEAST CONCERN?

3) (S) HOW DO RUSSIAN OFFICIALS ASSESS THE GOALS FOR THEIR EXPORT CONTROL SYSTEM COMPARE TO THOSE OF OTHER COUNTRIES (SUCH AS THE UNITED STATES AND EUROPEAN UNION COUNTRIES)?

4) (S) HAVE RUSSIAN OFFICIALS EXPRESSED CONCERN ABOUT CERTAIN TECHNOLOGIES OR INFORMATION GETTING INTO THE HANDS OF OTHER COUNTRIES? WHICH TECHNOLOGIES OR INFORMATION? WHICH COUNTRIES IN PARTICULAR?

1C. (U) OPERATIONS OF EXPORT CONTROL SYSTEM

1) (S) WHO ARE THE KEY DECISIONMAKERS THAT FORMULATE AND/OR IMPLEMENT RUSSIA'S EXPORT CONTROL POLICY? WHICH PARTS OF THE RUSSIAN GOVERNMENT HAVE THE LARGEST ROLE AND GREATEST INFLUENCE OVER FORMULATING AND IMPLEMENTING POLICY? WHAT ROLE DO PREMIER PUTIN AND PRESIDENT MEDVEDEV SPECIFICALLY PLAY IN EXPORT CONTROL DECISIONMAKING?

2) (S) HOW DOES MOSCOW CHANGE ITS EXPORT CONTROL POLICY? WHAT STEPS MUST OFFICIALS GO THROUGH TO DO SO?

3) (S) WHAT POLICIES ARE MOSCOW CURRENTLY IMPLEMENTING TO IMPROVE OR CHANGE IN ANY WAY RUSSIAN EXPORT CONTROL POLICY?

4) (S) ARE THERE ANY PARTICULAR INCIDENTS THAT PUSH MOSCOW TO CHANGE EXPORT CONTROL POLICY?

5) (S) DOES MOSCOW RESTRICT SALES OF CERTAIN ITEMS? SALES TO CERTAIN COUNTRIES? IF SO, ARE SUCH RESTRICTIONS IN WRITING?

6) (S) WHAT IS THE NATURE OF THE FORMAL AND INFORMAL RELATIONSHIP BETWEEN RUSSIAN EXPORT CONTROL OFFICIALS AND EXPORTERS (E.G. ADVERSARIAL OR PERSONAL)?

7) (S) WHAT INCENTIVES IF ANY EXIST FOR RUSSIAN EXPORTERS TO FOLLOW EXPORT LAWS?

8) (S) WHAT PUNISHMENTS DO VIOLATORS OF RUSSIAN EXPORT CONTROLS FACE?

9) (S) HOW DOES RUSSIA MAKE AND IMPLEMENT CATCH-ALL CONTROLS DECISIONS?

10) (S) WHAT PROCESS DOES RUSSIA USE TO VALIDATE END-USERS FOR EXPORTS OF SENSITIVE AND DUAL-USE ITEMS?

11D. (U) CORRUPTION AND EVASION OF EXPORT CONTROLS

1) (S) WHAT FACTORS DRIVE RUSSIAN EXPORTERS TO ATTEMPT TO CIRCUMVENT EXPORT CONTROL LAWS (BUREAUCRACY, MONEY, LAZINESS, ETC.)?

2) (S) ARE THERE ANY PARTICULAR ASPECTS OF THE EXPORT CONTROL LICENSE APPLICATION PROCESS THAT DRIVE RUSSIAN EXPORTERS TO CIRCUMVENT EXPORT CONTROL LAWS?

3) (S) DO RUSSIAN EXPORTERS FEEL PRESSURE TO FOLLOW EXPORT CONTROL LAWS? IF SO, FROM WHERE?

4) (S) WHAT STRATEGIES DO RUSSIAN EXPORTERS USE TO CIRCUMVENT RUSSIAN EXPORT CONTROLS?

5) (S) WHAT ROLE DOES CORRUPTION PLAY IN RUSSIA'S EXPORT CONTROL SYSTEM?

6) (S) WHAT PUNISHMENTS DO RUSSIAN EXPORTERS EXPECT AND/OR FEAR FOR VIOLATING EXPORT CONTROLS?

7) (S) HOW DO RUSSIAN OFFICIALS ASSESS THE EFFECTIVENESS OF THE PUNISHMENTS EXPORTERS ARE SUBJECT TO FOR VIOLATING EXPORT CONTROLS?

12. (U) PLEASE CITE C-RE8-1565-067-09 IN THE SUBJECT LINE OF REPORTING IN RESPONSE TO THE ABOVE QUESTIONS.

CLINTON